

APPENDIX VI

RESTRICTED AREAS AND LIMITED WATERWAY AREAS

1. Restricted Areas

a. There are several valid reasons to establish restricted areas (e.g., mission sensitivity; protection of certain unclassified chemicals, precious metals or precious metal-bearing articles; conventional arms, ammunition and explosives; funds; drugs; nuclear material; sensitive or critical assets; or articles having high likelihood of theft) to protect security interests.

b. As a matter of policy, three different levels of restricted areas are established. The intent is to simplify and standardize the appropriate application of varying degrees or levels of restrictions, controls, and protective measures that are appropriate for different circumstances and/or assets as discussed in the preceding paragraph.

(1) Level One. The least secure type of restricted area. Its appropriate application is to situations judged to warrant establishment of a restricted area, but less than a Level Three or Level Two restricted area.

(2) Level Two. The second most secure type of restricted area. The most appropriate application is to situations where uncontrolled entry into the area, or unescorted movement within the area could permit access to what is being protected.

(3) Level Three. The most secure type of restricted area. The most appropriate application is to situations where access into the restricted area constitutes, or is considered to constitute, actual access to what is being protected.

(4) The general rule is that decisions regarding designations of restricted areas, their levels, and criteria for access to each restricted area are at the discretion of the commanding officer (see discussion of review and assessment processes in chapter 1). These decisions usually flow from the reasons that led to the conclusions to establishment of the restricted area in the first place. Exceptions to the general rule are:

(a) Direction provided for protection of specific assets (e.g., references (a) through (f)).

(b) Direction provided by the parent chain of command.

(c) Direction provided elsewhere in this manual concerning specific circumstances.

c. Minimum Security Measures Appropriate for Restricted Areas, i.e., Level 1.

(1) A clearly defined protected perimeter. This perimeter may be a fence, the exterior walls of a building or structure, or the outside walls of a space within a building or structure.

(2) Admission only to persons whose duties require access and who have been granted appropriate authorization. Persons not cleared for access to the security interest contained within a restricted area may, with appropriate approval, be admitted, but they must be escorted so that the security interest itself is still protected from unauthorized access.

(3) A personnel identification and control system.

(4) Entry and departure controlled.

(a) An electronic control system with the capability of recording entry and departure may be used to accomplish this.

(b) It is intended to permit use of electronic access control systems and CCTV to economize the number of personnel that are necessary to control access to restricted areas. Use of electronic measures can allow appropriately cleared and trained personnel to control access as intended, but in a manner that does not necessitate their physical presence at each and every control point.

(c) If a computer access control or logging system is used, it must be safeguarded against tampering.

(5) Secured during non-working hours.

(6) Checks are often made for signs of attempted or successful unauthorized entry, and for other activity which could degrade the security of the restricted area.

d. The following minimum security measures are required for Level Two restricted areas:

(1) The same measures specified for Level One, and,

(2) During normal duty hours, use of an access list and entry and departure log is suggested but not required. After normal duty hours, all personnel must be logged in and out. (An electronic control system with the capability of recording entry and departure may be used to accomplish this).

(3) When secured, checked at least twice per 8-hour shift or at least once per 8-hour shift if adequately equipped with an operational IDS. This is intended as a benchmark guide and not as a hard and fast rule.

e. The following minimum security measures are appropriate for Level Three restricted areas:

(1) The same measures specified for Levels One and Two, except as follows:

(a) Personnel identification and control system includes an access list and entry and departure log. After normal duty hours, all personnel will be logged in and out. Only visitors need be logged in and out during normal duty hours.

Note: This is based on the premise that other records (e.g., time and attendance, travel, etc.) will be available to call upon to establish whether regularly assigned/employed personnel were present in the restricted area on any given work day during normal duty hours. However, these other records would not normally establish whether a person would have been in a restricted area after normal duty hours.

f. Personnel and Vehicle Administrative Inspections.

(1) All instructions designating restricted areas shall include procedures for conducting inspections on a random basis of persons and vehicles entering and leaving such areas. The purpose is to detect and deter the introduction of prohibited items (firearms, explosives, drugs, etc.) and to detect and deter the unauthorized removal of government property and material. To be effective, administrative vehicle and personnel inspections must be conducted frequently enough so that personnel remain mindful that the inspections are a real possibility, and that they could be inspected at any time they enter or leave the area. It is better to frequently conduct random inspections of a few people or vehicles at any one time than to inspect a lot of people only infrequently. Procedures will be coordinated with the cognizant Staff Judge Advocate or Naval Legal Service Office and approved by the activity commanding officer or designated representative. Accredited Naval Criminal Investigative Service personnel, upon presentation of badge and/or credential, are exempt from such inspections aboard Navy installations.

(2) Security force personnel must be instructed that incoming persons and vehicles may not be inspected over the objection of the individual. However, those who refuse to permit inspection will not be allowed to enter. Persons who enter should be advised in advance (a properly worded sign to this effect prominently displayed in front of the entry point will suffice) that they and their vehicles are liable to inspection while in the restricted area.

2. Limited Waterway Areas. Commanding officers of installations/activities adjacent to waterways who decide to limit persons, vehicles, vessels, and objects within designated areas have several options.

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a. Described here are the different types of limited waterway areas available. The U.S. Coast Guard (USCG) and the U.S. Army Corps of Engineers (USACE) may - when safety, security or other national interests dictate - control access to and movement within certain areas under their jurisdiction.

(1) Installation/activity commanding officers shall ensure their waterfront and waterway areas are designated by the proper authority.

(a) The USCG and USACE are the authority for implementing control mechanisms under the Ports and Waterway Act of 1972 (PWSA) (33 U.S.C. 1221 et seq), the Magnuson Act of 1950 (50 U.S.C. 191), the Outer Continental Shelf Lands Act (OCSLA) (43 U.S.C. 1331 et seq), and the Deepwater Port Act (33 U.S.C. 1501 et seq).

A)

(b) As used in this part, "waterfront" and "waterfront facility" means all piers, wharves, docks, or similar structures to which vessels may be secured and naval yards, stations, and installations, including ranges; areas of land, water, or land and water under and in immediate proximity to them; buildings on them or contiguous to them and equipment and materials on or in them.

(c) The cognizant USACE local field office is the responsible agency for establishing restricted areas.

(d) The Coast Guard Captain of the Port is responsible for establishing all other types of Limited Waterway Areas.

(2) Installation/activity commanding officers shall make their case for protection of adjacent waterway areas with the proper agency. Commanding officers desiring adjacent waterway or waterfront access controls must provide a written request to the appropriate local office of the USCG or USACE. Requests will include complete justification and details regarding the type of designation desired and area(s) to be designated. A copy of all requests and subsequent correspondence/designation will be provided CNO (N09N3).

(3) Liaison between security personnel and local Coast Guard officials should be maintained to ensure designation of Limited Waterway Areas and procedural aspects are kept current.

(4) Although public notification of designated Limited Waterway Areas is the responsibility of the local USACE or USCG, as appropriate, installation/activity commanding officers shall ensure that the language of the associate notices convey the commanding officer's intent (e.g., that such notices explicitly ban swimmers or persons as well as boats if that is what is intended).

(5) Commanding officers shall ensure that areas designated are appropriately patrolled or observed to ensure protection of ships and operations.

3. Waterfront Security. Such areas as previously described in this appendix, as a minimum, shall be designated as a Level One restricted area(s).

a. In addition to the standards set forth for restricted area and limited waterway areas and paragraphs 0312 and 0313 of this manual, waterfront areas and facilities shall be protected as follows:

(1) Barriers shall be available to prevent direct unchallenged access onto piers, wharves, or docks when ships are moored.

(2) Vehicle access to piers, wharves, or docks shall be controlled. Parking shall be limited to essential government or vetted commercial and approved ship's company vehicles. Where parking is necessary, such parking shall be commensurate with paragraph 0312 of this manual.

(3) Security planning will address additional measures to implement increased access control during heightened THREATCONS.

(4) Appropriate security force response shall be afforded to the waterfront asset or waterfront facility as defined by this manual. Security force response personnel shall be equipped with a security communications system meeting the criteria in Chapter 10 and shall be mobile or have adequate security vehicles immediately available for emergency response situations.

(5) Specific security measures for the security of ships are provided by the security matrixes at figures VI-1 and VI-2. The security of waterfront assets matrix provides a description of the Navy asset or resource to be protected and the security measures which shall be used in the protection of these assets or resources. The water asset value/risk matrix provides staffing guidelines for patrol boat tours of waterfront areas. Security measures in figure VI-1 are intended to deal with individuals or small groups (3-4 persons) approaching by boat, surface and subsurface swimmers and possessing small arms and/or explosives.

SECURITY OF WATERFRONT ASSETS MATRIX
IN U.S. NAVY CONTROLLED PORTS

<u>PRIORITY</u> <u>HIGH)</u>	<u>ASSET</u>	<u>SECURITY MEASURES (CUMULATIVE FROM LOW TO</u>
A (HIGHEST)	SSBN	.Electronic water/waterside security system (CCTV, associated alarms, surface craft or swimmer detection, underwater detection)
B (HIGH)	Carriers Other submarines	.Establish security zone with the USCG, where possible .Use water barrier(s), where appropriate and/or practical
C (MEDIUM)	Surface Combatants Amphibious Auxiliary MSC Ships (Strategic Sealift Ship (SSS) Deployed) Prepositioned Ships (loaded) Mine Warfare Patrol Coastal	.Harbor patrol boat(s) with bullhorn, NVD, spotlight, marine flares, lethal and non-lethal weapons .Establish restricted area waterway(s); with buoys and signs. Arrange patrol boat back-up support from Harbor Ops, Coast Guard, or other (tenant boat units, small craft from ships)
D (LOW)	MSC SSS (Reduced Operational Status) Pier Facilities	.Adjacent landside security (patrols, surveillance, pier access control), no special requirement in waterways

1. This matrix reflects a building block approach. Requirements for each security level are required to have in place measures from all previous priority levels plus those listed for the priority level asset to be protected.

2. Waterborne patrols are required 24 hours per day 7 days per week. For installations with priority A assets, patrols will be continuous. For installations with priority B through D assets, patrols may be random during THREATCONs NORMAL and ALPHA. However, security patrol craft must be in the water (crew nearby) and ready to get underway immediately. Commanders/Commanding Officers will decide frequency of the random patrols until THREATCON BRAVO, when they shall become continuous.

Note - Consistent with operational readiness, every effort should be made to get ships underway during increased THREATCONs.

Figure VI-1

WATER ASSET VALUE/RISK MATRIX - STAFFING GUIDELINES

<u>ASSET PRIORITY</u>	<u>THREATCONS NORMAL/ALPHA</u>	<u>THREATCON BRAVO</u>	<u>THREATCONS CHARLIE and DELTA</u>
A	1 boat; continuous patrols	2 boats; continuous patrols	Same as BRAVO
B and C	1 boat; frequent random patrols	2 boats; 1 continuous patrol - second frequent random patrols	2 boats; continuous patrols
D	1 boat; frequent random patrols	1 boat; continuous patrols	Same as BRAVO

1. Resourcing Waterborne Security:

a. Patrol boats will be assigned to installations required to protect afloat assets. The number of patrol boats assigned and the personnel required to man them will be based on type of assets to be protected and waterfront area to be patrolled.

b. The primary mission of the waterborne patrol is to deter unauthorized entry into waterside restricted areas, to maintain perimeter surveillance and intercept intruders prior to them approaching Navy ships in port. For the purpose of calculating the number of boats required, a waterborne patrol zone will nominally be 2 nautical miles, which facilitates a five-minute response time to any asset within the zone. Additional missions may include providing escorts to vessels in and out of the port area in coordination with USCG or patrolling waterfront restricted areas where ships are not present, and will be separately validated.

c. Each base with home ported waterborne assets listed above will be staffed at a minimum to support one full time security boat crew and will have at least two operational security boats to support the force protection mission.

d. A boat crew will consist of two personnel, as a minimum, and be able to sustain operations 24 hours per day 7 days per week. Coxswains may be unarmed non-security personnel, however, it is preferred that the entire crew be armed, trained security personnel.

e. Crew calculation:

(1) One boat: 7 days/24 hours (plus ½ hour extra each shift change) = 178.5 hours. Times 2 personnel = 357 hours or 11 people.

(2) Two boats: 7 days/24 hrs (plus ½ hour each shift change) = 178.5 hrs. Times 4 personnel = 714 hours or 23 people.

Note: Where practical and where the threat necessitates extended use of more than one boat, Auxiliary Security Force (ASF), where available, and/or other trained base personnel may be used to augment regular security personnel.

Figure VI-2